

## Appendix A – Current Selection Processes

## 408 Monographs submitted for claim registration

Monographs submitted for claim registration undergo the selection process multiple times. When CO receives the deposit; the ACQ SO reviews the item in CO MC and makes a preliminary selection decision. A preliminary selection decision is necessary due to the amount of material that the ACQ SO must review in a limited time frame. The ACQ SO may select the deposit because CIP data is present in the monograph. Monographs that contain CIP data are designated cataloging priority one. The ACQ SO sends cataloging priority one monographs to the CIP Division.

Other reasons for selecting the deposit temporarily includes (1) the need for the ACQ SO to search the deposit to see if either similar types of works or other works by a particular author are in the LC collection, and (2) the need to search to determine the number of copies of the work already in the collection.

If the ACQ SO selects at least one copy, the MC technician splits the two copies and forwards one for claim registration and the second to the CIP Division. The CIP Division staff review the deposit for CIP data. During the CIP verification and

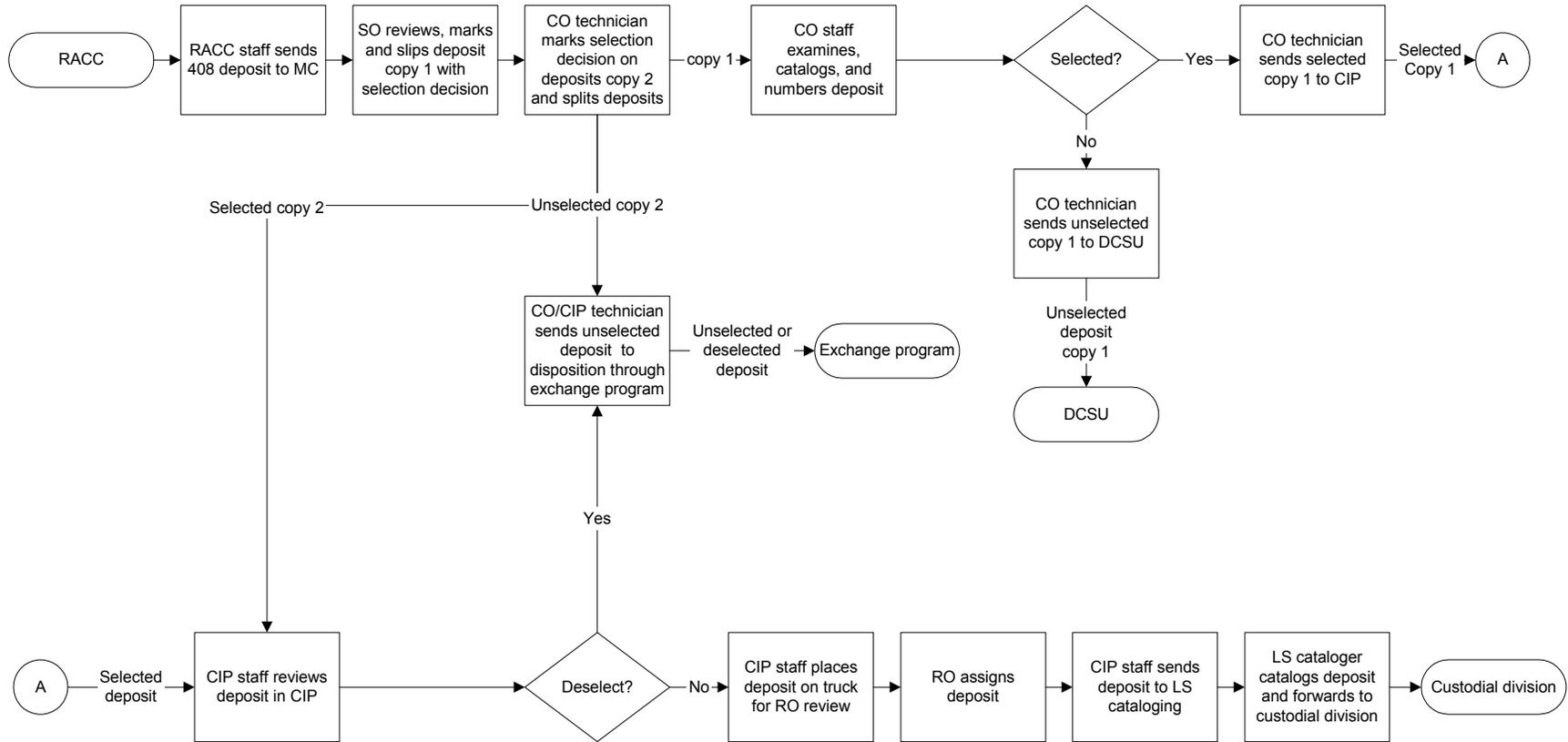
validation activities, the ACQ SO has the opportunity to review deposits he or she preliminarily selected in MC. The ACQ SO may search ILS at this stage for additional information and de-select a title that they had previously selected in MC. If the ACQ SO does not initially select a deposit, or if it is de-selected in the CIP Division, CIP Division staff sends the deposit to the Exchange program.

CO forwards selected deposits (copy 2) to the CIP Division for the same verification and de-selection process that the first copy underwent after claim registration. If LS did not select copy 2, CO sends the copy to DCSU.

CO records a "selected" decision in the CO record based on ACQ SO's temporary decision done in CO MC. If the deposit is de-selected in the CIP Division, CO has no way of knowing about this and does not update the record to reflect this disposition change. Therefore, CO record acknowledges that the copy was sent to LC, not necessarily that the copy became a part of the LC collection.

Figure 12 depicts the current workflow for 408 monographs submitted for claim registration.

**Figure 13: Process flow of monographs submitted for claim registration**



## 407 Voluntary and demanded monograph deposits

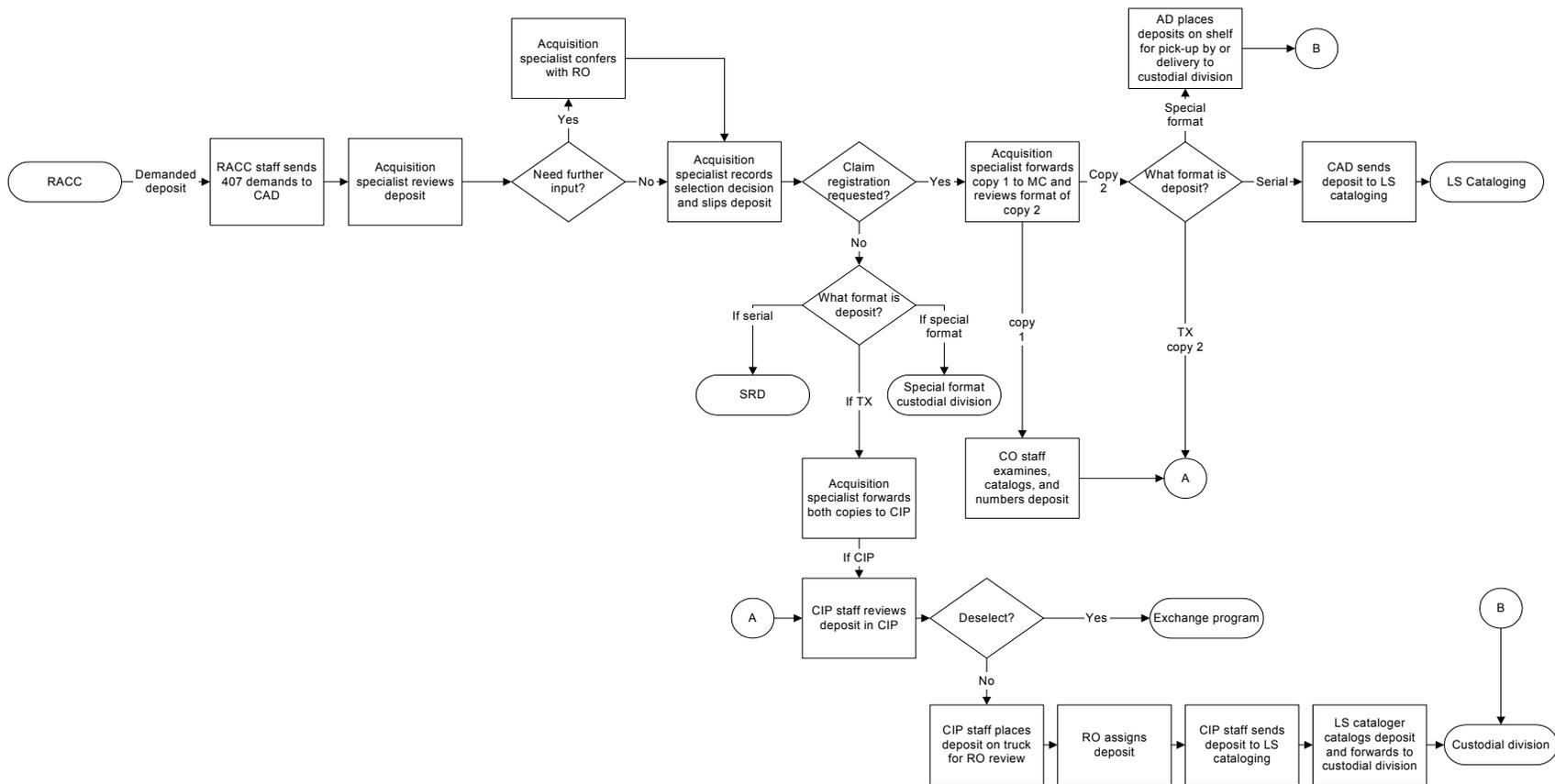
The acquisition specialist who originated the demand deposit receives the demand and cancels the outstanding request. With the item in hand, the acquisition specialist checks-in the deposit and makes the selection decision. If necessary, the acquisition specialist may confer with a RO on the selection decision. When a RO requests a title be demanded, that request is often based on summary information. When the demanded title arrives at the Library, it may not fit with the Library's collections and/or may not be what the RO anticipated when he or she entered the request. However, most demanded deposits are selected for the collections.

If the remitter requests CO registration of a claim CAD demanded, CAD sends one copy to CO for examination, cataloging and numbering.

CAD routes the deposit (copy 2, or both copies, if claim registration not requested) according to the format:

- Monographs with CIP information to CIP for verification and validation
- Serials to Serial Record Division (SRD) for processing
- Special formats proceed to a shelf or holding area for custodial retrieval.

**Figure 14: Process flow of (407) voluntary and demanded monograph deposits**



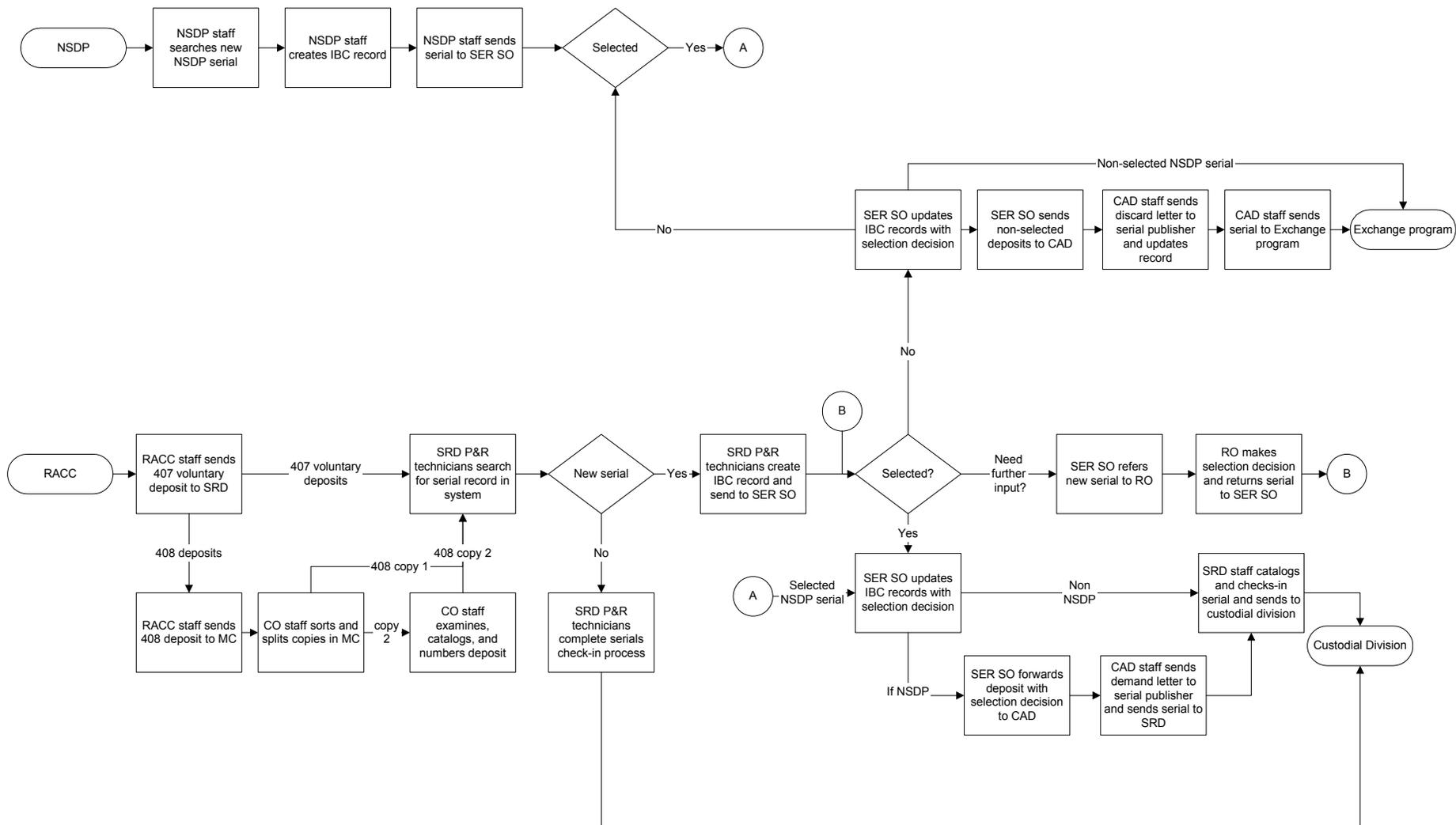
## Serial deposits

Serials enter LC through a variety of acquisition methods, including CO, purchase, Exchange, Gift, the National Serial Data Program (NSDP), or overseas offices. CO sends voluntary deposits it receives to SRD for immediate processing. CO splits deposits submitted for claim registration in MC. One copy is sent to SRD for selection and processing and the other remains in CO for registration.

Upon completion of registration, CO sends the second copy of the serial to SRD. Processing and Receiving (P&R) technicians in SRD to review each serial. If a record already exists for the serial in the ILS, P&R considers it a recurring serial and P&R checks it in and completes the processing. Serials without a record in ILS are considered new and sent to the Serial SO for

review. The Serial SO reviews the deposit, confers with ROs in the specific subject, if necessary, and records the selection decision. The SO sends serials not selected, including those received through NSDP, to CAD. CAD notifies the publisher that LS will not retain the deposit in the collections. SRD completes the check-in and cataloging for selected serials and sends deposits received through CO to the appropriate custodial division. SRD sends selected serials received through NSDP to CAD for correspondence to inform publisher to send two copies to LC, whether or not registration is sought. When CAD completes its work, it sends the selected serials to the appropriate custodial division.

**Figure 15: Process flow of serial deposits**



## Music

If CO receives music deposits that CAD demanded; CO forwards the deposit to CAD to process (see CAD above). CAD staff record voluntary deposits, approximately 1,065 in FY 2000, in a stand-alone database and then set them aside for the custodial division. CO examines, catalogs and numbers music deposits submitted for claim registration and sets them aside for the custodial division. In FY 2000, this number was 45,161.

The music SO goes to CO PA cataloging and reviews all published deposits registered in class PA (not PAu – unpublished). The music SO deselects some material (which remains in CO) and sorts the remaining selected items by level of cataloging:

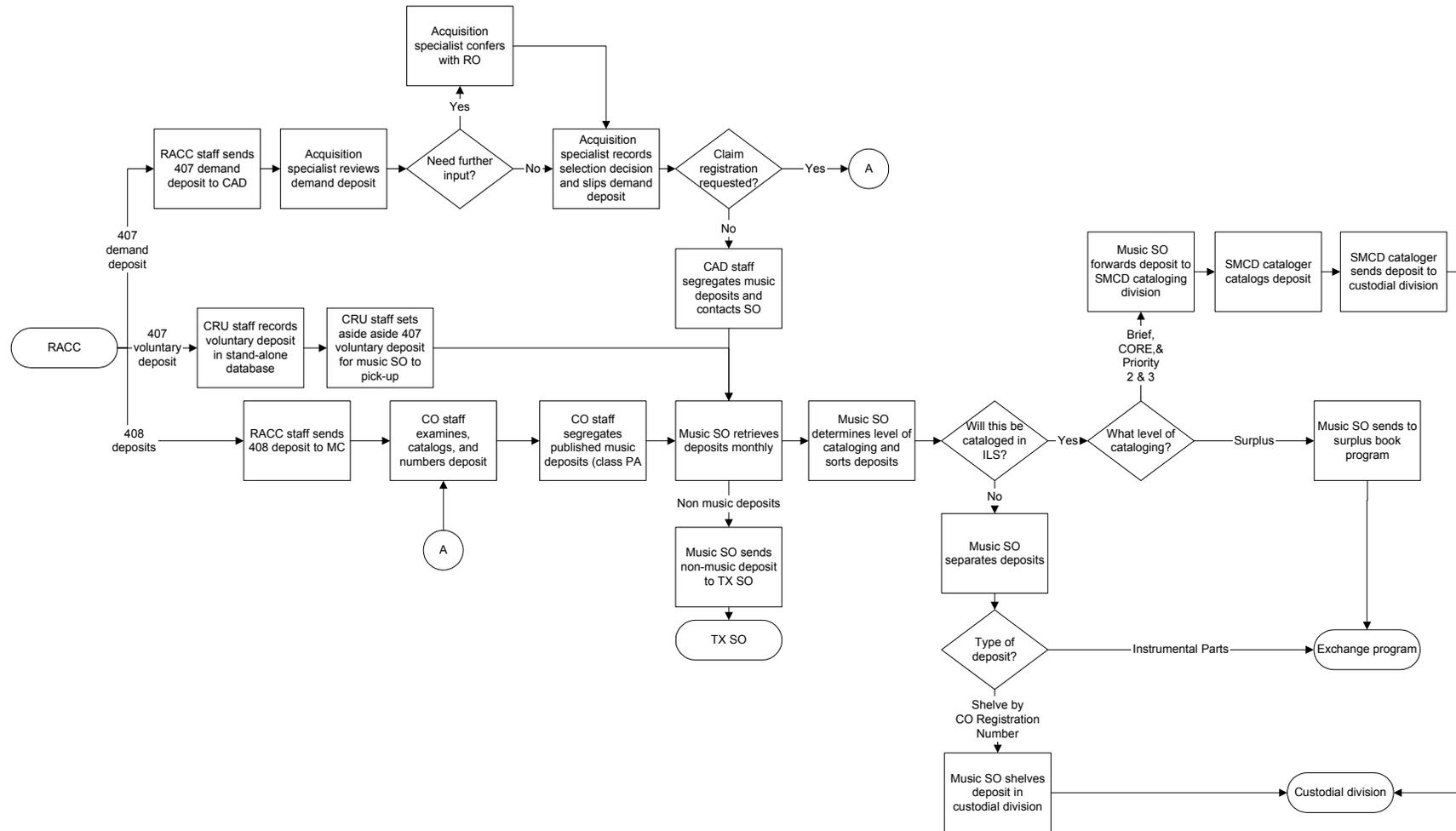
- Brief
- CO Registration number
- Core
- Priority 2
- Priority 3.

The music SO sends Brief, Core, Priority 2, and Priority 3 deposits to SMCD cataloging. Music staff shelve deposits by CO registration number in the custodial division. The music staff sends unwanted deposits and instrumental parts to the exchange program. The music sends non-music deposits back to the ACQ SO. SMCD sends the deposit to the custodial division after cataloging<sup>1</sup>.

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<sup>1</sup> The Music Division made several changes and improvements to their current process during the JIG's review: (1) lyrics denoted as published on the CO application that are not commercial publications now proceed directly to DCSU. They are no longer selected. (2) SOs now review deposits in CO instead of waiting for deposits to arrive in the custodial division.

Figure 16: Process flow of deposits classified as music

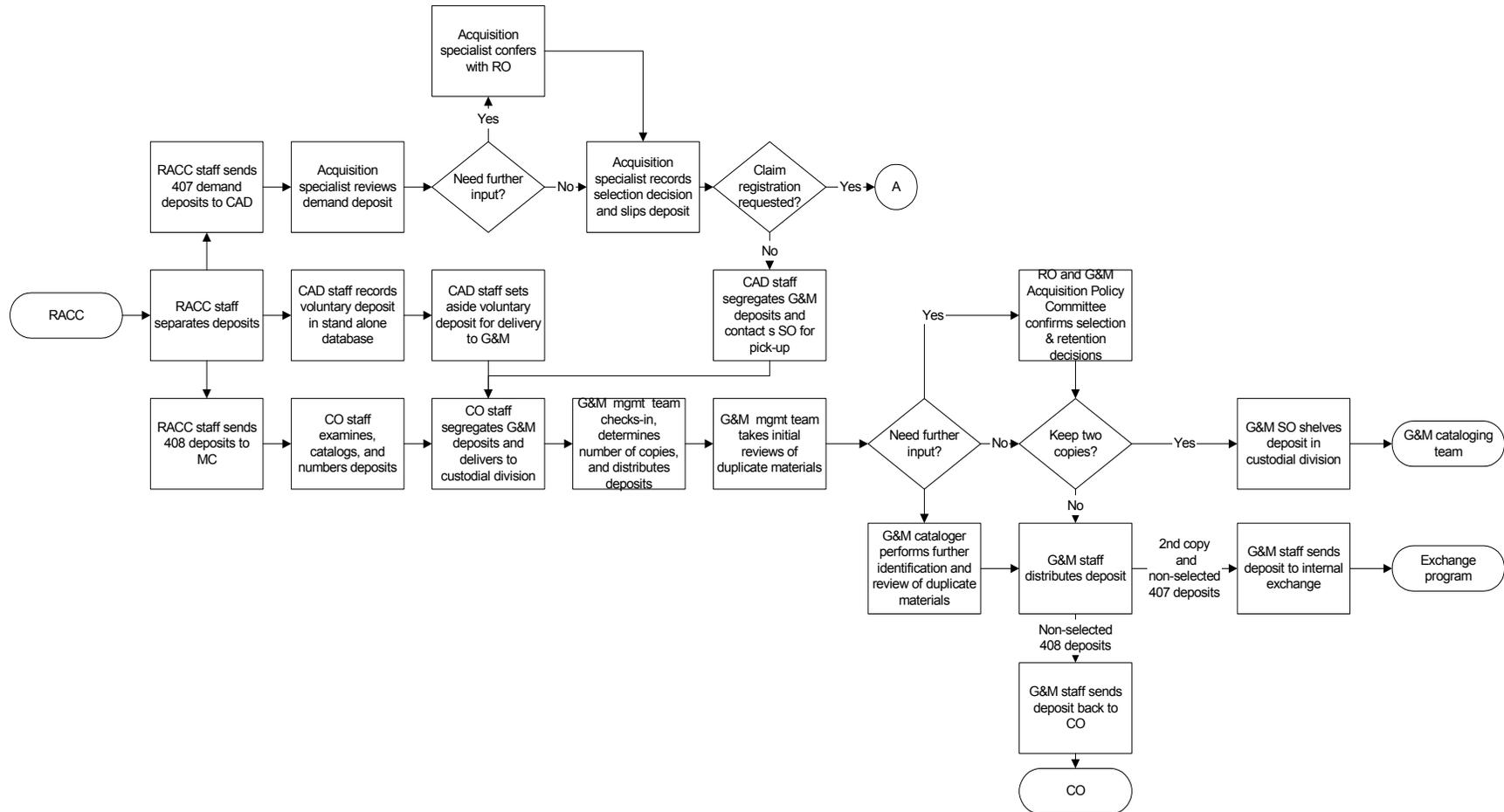


## Geography and Cartography

In 2000, CO received 4,801 maps for registration and 42 voluntarily. Unlike Music, however, CO delivers G&M deposits to the custodial unit for selection. The Collection Control Unit in G&M checks-in and distributes deposits to catalogers based on geographical area assignment. The cataloger performs the initial selection conferring with the RO, if necessary, to make

the selection decision. If LC wants two copies, custodial staff catalogs and shelve both copies. If LS only selects one copy for the collection, custodial staff sends the second copy, along with non-selected 407 deposits, to the exchange program. G&M staff sends non-selected claim registration deposits back to CO.

Figure 17: Process flow of deposits classified as geography or cartography



## Prints, Photographs and Posters

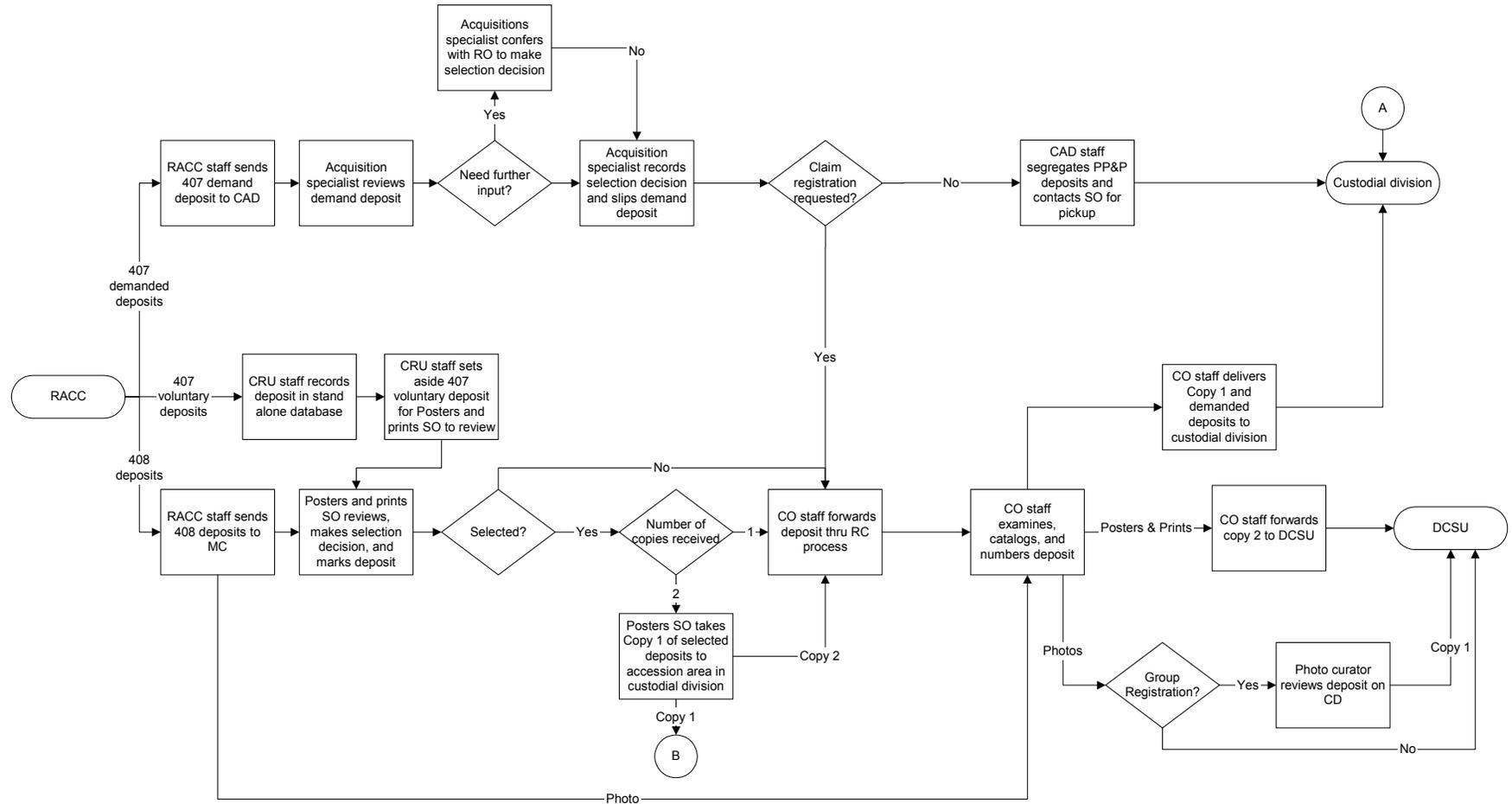
*Posters and Prints:* Posters include items such as movie posters and advertisements. Prints encompass artwork, advertising, etc. In 2000, 2,881 deposits were received for registration and 194 were voluntarily submitted in compliance with section 407. The SO reviews posters and prints in MC. This is the only time selection is performed prior to the completion of claim registration. If selected, the SO takes one copy back to custodial division with them. (Note: if only one copy is received, CO hand carries the deposit through the process and delivers it to the custodial division). The second copy proceeds through claim registration and is then delivered to the custodial division.

CO forwards deposits received in response to a CAD demand to CAD to process (see CAD narrative). CAD staff checks in voluntary deposits into a stand-alone database and set them aside for delivery to the custodial division. *Photographs:* Photographs do not undergo a true selection process.

Demand deposits proceed through CAD (review CAD description), but these are rare. If registration is requested, CO registers the claim and sends it to the custodial division. If registration is not requested, CAD sends the photograph(s) directly to the custodial division. If submitted voluntarily, CAD staff check-in the deposit into a stand-alone database, and set aside the prints and posters for the SO to review. CO examines, numbers, and catalogs deposits submitted for claim registration.

After the claim is examined, the photograph curator comes to CO VA examining and reviews deposits submitted under group registration and identifies any material wanted for the collection. A selection decision is not made on reviewed deposits. CO forwards one copy of the deposit to DCSU and the other to the exchange program, in the rare instances where two copies are received. (Group registration only require one copy be submitted).

Figure 18: Process Flow of deposits classified as prints, photographs, or posters



## Law

*Law 408:* MC splits the two copies of Law deposits submitted for claim registration. Copy one is sent for claim registration. If it is a serial, CO sends it to SRD. If the deposit is a pocket part or loose-leaf, Law Library staff pick-up the deposit from TX Examining. Law Library staff also pick-up copy 2 of monographs in MC and process the deposit if able, (i.e., non CIP). If the deposit is CIP, the Law Library staff is unable to process the deposit and send the monographs to the CIP Division and the serials to SRD.

The remainder of the process is similar to that of Law (407) in that the CIP Division processes the deposits from the Law Library and the 407 demands from claim registration and sends them to Law cataloging. For law material to be cataloged, the Reference Librarian must initial it. If initials are not present, the Law cataloger sends the deposit to the Law Reference Librarian. The Law Reference Librarian initials the deposit and assigns it to a Law specialist for priority assignment. The Law specialist sends the deposit to Law cataloging, which catalogs the deposit and forwards it to the custodial unit. Law cataloging reviews the deposits for initials of Law staff; if present, they catalog the deposit and send to the custodial division. *Law 407:* RAC sends one copy of all non-serial Law deposits (voluntary and demand) to CAD (see CAD narrative) and holds the second copy for the Law Library staff to pick-up. If the deposit is a serial, RAC sends it to SRD. The Law Library staff separate the deposits into those it can process immediately (i.e., non CIP) and those that it cannot (i.e., CIP). For the deposits it can process, the Law Library staff complete the processing and retain the copy in the custodial division. The Law Library staff sends the deposits it cannot process to the CIP Division. The CIP Division processes the deposits from the Law Library and the 407 demands from claim registration and sends them to Law cataloging. Law cataloging reviews deposit for initials of Law

staff; if present, they catalog the deposit and send to the custodial division. If initials are not present, the Law cataloger sends the deposit to the Law Reference Librarian. The Law Reference Librarian initials the deposit and assigns it to a Law specialist for priority assignment. The Law specialist sends the deposit to Law cataloging, which catalogs the deposit and forwards it to the custodial unit.

Figure 19: Process flow of Law deposits received voluntarily or demanded

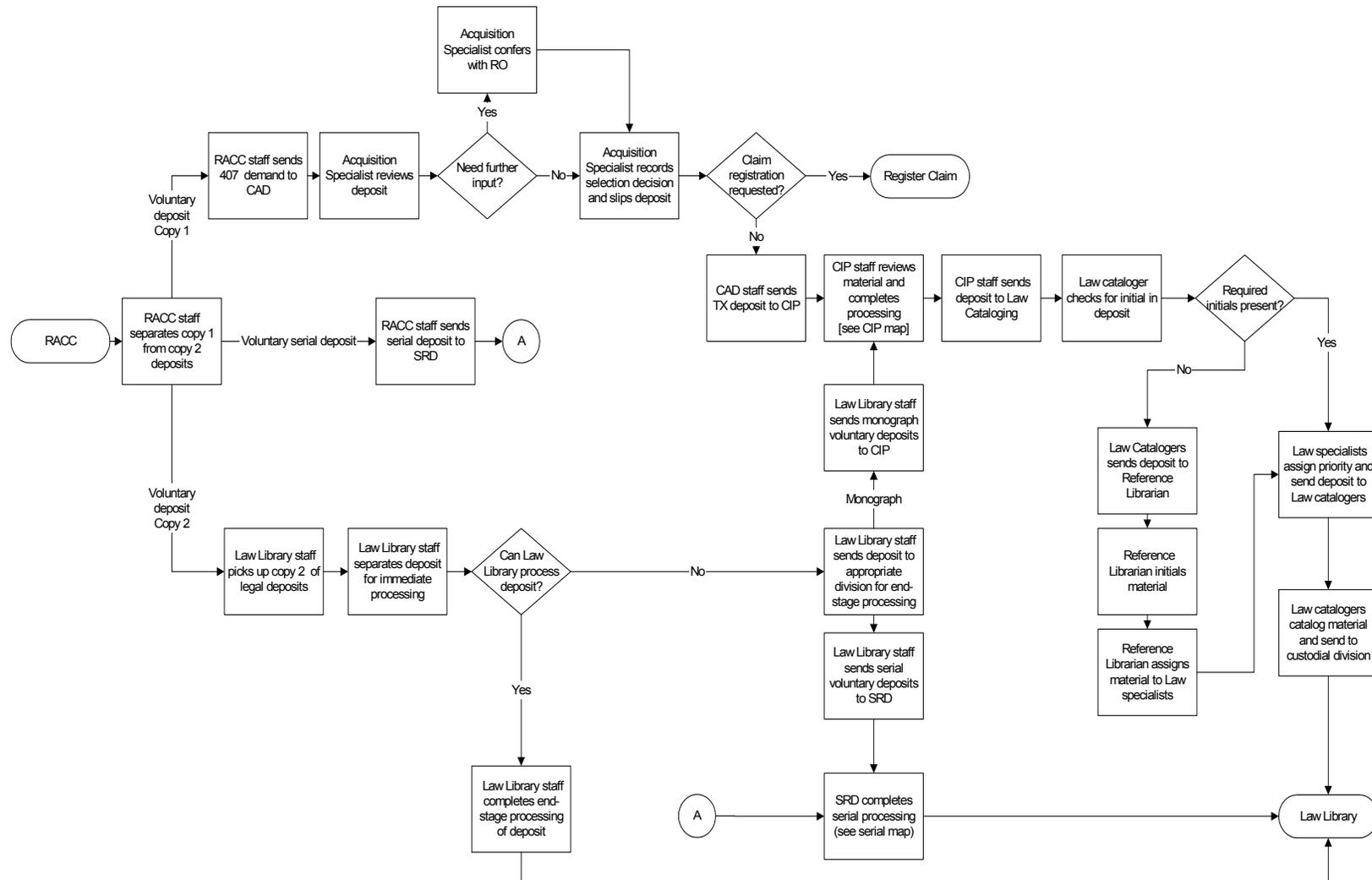
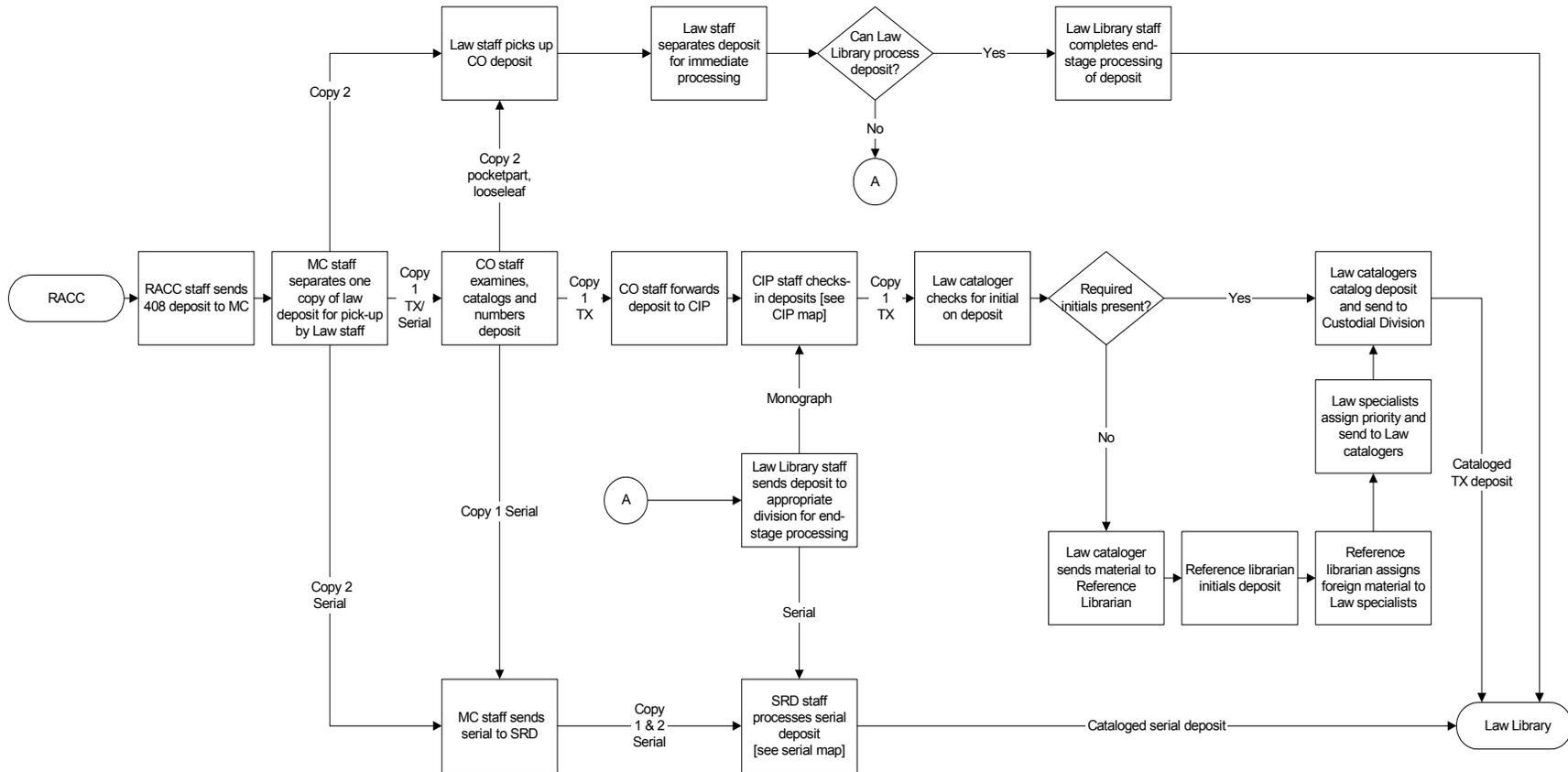


Figure 20: Process flow of Law deposits submitted for claim registration



## CIP

Deposits enter the CIP Division from either direct mail receipt from the publisher, CO or from CAD. Deposits may or may not contain CIP data. The CIP Division receives deposits with CIP data to close out their records, including insuring that cataloging reflects the physical item.

CO receives material submitted for CO registration (408) and an ACQ SO reviews it. The CO processing workflow varies based upon whether the deposit contains CIP data and the number of copies to be acquired.

If the deposit contains CIP data, one copy is forwarded to the CIP Division unit. The second copy continues through the CO claim registration process, and is eventually sent to the CIP Division as well. ACQ SO sends deposits to the CIP Division regardless of their selection decision. Deposits are searched, and for those deposits determined to be the first copy received, a CIP Division technician adjusts the bibliographic record to indicate receipt of the first copy. CIP Division staff then forward the item for selection review, after which the item is sent to complete the cataloging based on the item in hand:

- If the 408 deposit does not contain CIP data and two copies are to be acquired, CO processes one copy for claim registration. The CIP Division receives the second copy for further processing and searching
- If only one copy is to be retained for the LC collections, CO processes one copy of the deposit for claim registration, and sends it to the DCSU in Landover. The CIP Division receives the second copy for further processing.
- If ACQ SO does not want any copies of the deposit for the LC collections, CO processes one copy for claim registration and sends it to DCSU. The ACQ SO sends the second copy to the exchange program

Deposits received as a result of a demand request undergo selection by CAD staff, in coordination with the ACQ SO and ROs. The ACQ SO selects 407 voluntary submissions. For 407 voluntary submissions and demand request deposits that contain CIP data, CAD staff sends both copies to CIP. The first copy is used to close out the record, regardless of the selection decision. If the deposit is not the first copy received and additional shelf copies are needed, the deposit is sent to LS cataloging via the CIP Division. If LS receives the number of shelf copies it wants, the deposit is sent to the exchange program.

CAD staff routes 407 demanded deposits that do not contain CIP data, but are selected for the collection, based upon the number of copies to be acquired:

- If both copies are acquired, both books are sent to cataloging teams via the CIP Division.
- If only one copy will be acquired, one copy is forwarded to cataloging via the CIP Division and the remaining copy is sent to the exchange program.
- If any demanded 407 deposit is accompanied by a request for claim registration, one copy of the deposit is sent from CAD to claim registration, where the deposit is forwarded to the CIP Division.
- Currently, all 407s received voluntarily are routed to CIP.

The ACQ SO performs an initial selection decision of 407 voluntary submissions and 408 registrations before the deposits arrive in the CIP Division. The ACQ SO does not make an initial selection decision for materials that arrive directly in the CIP Division. The latter non-CIPs are slipped priority 2 (may be changed) and, along with 407 and 408 receipts, are set aside for selection review. Deposits to be acquired are searched by CIP Division staff. For deposits discovered to be a first received the CIP Division copy, the

record is "1111'd" to indicate receipt of at least one copy. Holdings and items records are created and the material is placed on a truck for review by the ACQ SO. The ACQ SO reviews the deposit to determine if it should be retained for the collection, and the number of copies to acquire. The ACQ SO decisions are marked on the material with slips. The ACQ SO then sends the item to LS Cataloging to complete the cataloging.

If the copy is not the first received, the technician reviews whether the copy is in excess of the number of shelf copies to be acquired. If yes, the copy is slipped as a surplus duplicate and sent to the exchange program. If uncertainty exists regarding whether there are enough copies for the collection, the deposit is slipped as a duplicate and referred to the ACQ SO. CIP staff often forwards additional copies for cataloging as a safeguard with no notation made in the bibliographic record.

The CIP Division technician determines if an IBC record exists. If yes, the technician passes the deposit to the CIP Division staff to complete the IBC record for the item in hand, create holdings and items records, and forward the deposit to the appropriate cataloging division. If no IBC record exists, a technician searches for a record in OCLC. If an exact-match record is found, the technician downloads it, assigns an LCCN, creates holdings and item records, and forwards it to the appropriate cataloging division. If no exact-match record is found, the technician passes the to the CIP Division cataloger who conducts another search. If a record is found, the cataloging staff downloads and processes it. If no record is found, the cataloger creates an IBC record and holdings and item records and forwards the deposit to the appropriate cataloging division.

If the new work is not to be acquired, but is represented by an IBC record, action is taken against the record to suppress it from the Online Public Access Catalog (OPAC). CIP staff sends the deposit to the exchange program. If no IBC record

exists for a new work that is not selected, CIP staff sends the deposit immediately to the exchange program.

An additional condition for deposits to be acquired is "another copy." If the deposit is not the first to be processed, the technician determines if LC has received enough copies. If it does, CIP staff slips the item as a surplus duplicate and sends it to the exchange program. If the technician is unsure if LC has enough copies, they slip the item as a duplicate and sends it to the ACQ SO who makes a selection decision and processes accordingly. If an item which is not the first processed is represented by a record that indicates "do not acquire," CIP staff sends the item to the ACQ SO for further review. The ACQ SO re-reviews the deposit to reverse "do not acquire" decisions made at the prepublication or galley stage for material that should be acquired.

The last option for a deposit is to determine if it is "another edition." If the deposit is a definite "another edition" to be acquired, CIP staff processes it and sends it to cataloging. If it is "to be acquired", but it is unclear whether or not it is "another edition," CIP staff sends the item to the ACQ SO for further review. If selected, CIP Division cataloging completes the IBC and forwards it to cataloging divisions. If the deposit is not selected and an IBC record does not exist, it is sent to the exchange program. If a record does exist, action is taken against the record to suppress it from the OPAC and the item is sent to the exchange program.

Figure 21: Process flow of monographs in the CIP Division

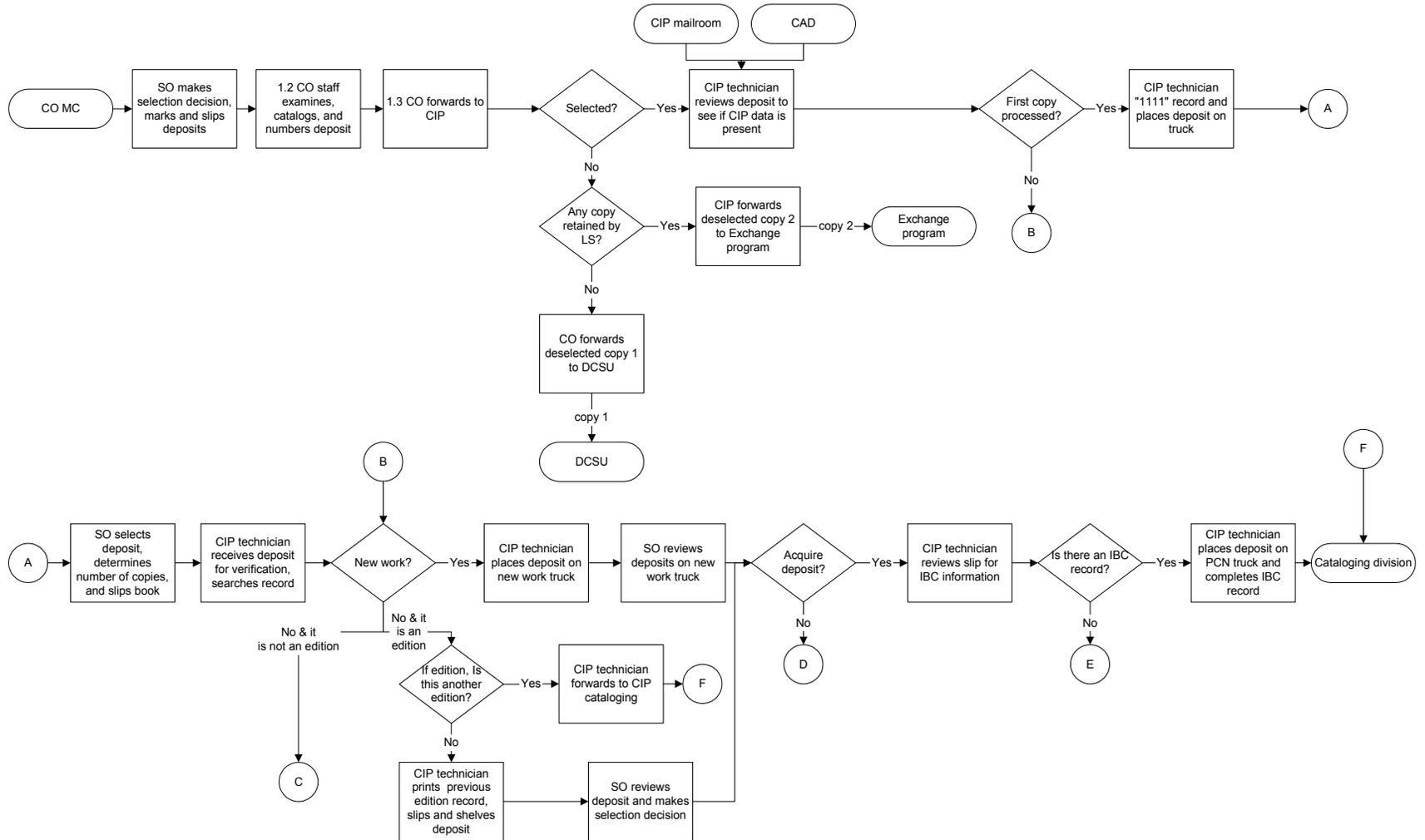


Figure 21: Process flow of monographs in the CIP Division (Continued)

